

DOCUMENT RESUME

ED 095 880

IR 001 062

AUTHOR Howard, Joseph H.
TITLE Implications of Proposed Changes in Rules for Entry of Serials.
INSTITUTION Library of Congress, Washington, D.C.
PUB DATE Jul 74
NOTE 11p.; Paper presented at the Annual Conference of the American Library Association (New York, New York, July 1974)

EDRS PRICE MF-\$0.75 HC-\$1.50 PLUS POSTAGE
DESCRIPTORS *Cataloging; *Serials
IDENTIFIERS *International Standard Bibliographic Description; ISBD (S)

ABSTRACT

In a presentation to the American Library Association, the author describes some advantages of converting serial title entries to the International Standard Bibliographic Description for Serials--ISBD(S)--and some difficulties of conversion. The coordination of the Anglo-American Cataloging Rules with ISBD(S) is discussed, as well as ISBD(S) in the card catalog, in machine-readable format, and in manual check-in files. For the check-in files some practical problems and solutions are described. (LS)

IMPLICATIONS OF PROPOSED CHANGES IN RULES FOR ENTRY OF SERIALS

BY JOSEPH H. HOWARD

7/9/74

There has been much activity in the serials world in the last few years and serials people have had to become conversant with new acronyms and abbreviations such as ISSN (International Standard Serial Number); ISDS (International Serials Data System); its U. S. national office, NSDP (National Serials Data Program); and ISBD(S) (International Standard Bibliographic Description for Serials).

All are directly or indirectly concerned with cataloging and, to a varying extent, all differ from our national standards and practices--and sometimes differ with each other. In an ~~at~~tempt to cooperate, simplify, and standardize on an international level, many people have been involved in the resolution of these differences--some of these have been resolved but many have not. The problem of entry is a major problem that is the topic for discussion today.

Only the ISBD(S) and the ISDS are directly concerned with rules for cataloging. Since the ISBD(S) concerns itself solely with rules for description, I will discuss it only as it defines what is meant by "title". The meaning of title is important to clarify since it relates directly to choice of entry. The ISBD(S), which has been recently published, will be considered by RTSD's Catalog Code Revision Committee in the near future.

The ISBD(S) requires a "Distinctive title". This is not the exact meaning that we are accustomed to. The ISBD(S) "distinctive title" means the title as it appears on the piece and, in the case of a generic term, that generic term plus the name of the issuing body (also as it appears on the piece) preceded by a space hyphen space. Another way of

U.S. DEPARTMENT OF HEALTH,
EDUCATION & WELFARE
NATIONAL INSTITUTE OF
EDUCATION

THIS DOCUMENT HAS BEEN REPRODUCED EXACTLY AS RECEIVED FROM THE PERSON OR ORGANIZATION ORIGINATING IT. POINTS OF VIEW OR OPINIONS STATED DO NOT NECESSARILY REPRESENT OFFICIAL NATIONAL INSTITUTE OF EDUCATION POSITION OR POLICY

ED 095880

IR 001 062

looking at it is that one will no longer have generic titles--only generic terms followed by an issuing body--thereby making the title distinctive. Simple examples involving corporate authorship have been provided to you.

(Explanation of examples)

The IFLA Working Group that developed the ISBD(S) sought to achieve compatibility with the ISDS Guidelines. Thus, in most cases, the distinctive title of ISBD(S) is the same as the key title of ISDS, except for those serials which have identical titles. In those cases ISDS adds qualifying elements to the key title whereas ISBD(S) includes the qualifying elements in the imprint area.

Changes have already taken place in the AA Rules to make them compatible with the ISBD(S). With the dropping of rule 162B (as announced in Cataloging Service Bulletin 108, April 1974), the title is no longer truncated as was done sometimes in the past. Please look at example 3. Rule 162B allowed the cataloger to truncate this to "Journal" because the entry was the American Medical Association. With the disappearance of 162B, the title will be Journal of the American Medical Association while the entry remains the same.

Please look at the distinctive title in example 1. You will soon see LC cards following this new pattern with the result that another major hurdle has been resolved between ISBD(S), ISDS and the AA Rules. This came about as the result of the ISBD(M) which you heard about earlier in the afternoon. In its rule for series transcription, this is a requirement. Since some series are traced and some are collected, the rules for series and serials need to be the same. This practice was

announced in Cataloging Service Bulletin 109, May 1974. With these two changes, the ISBD(S) and the AA Rules are in agreement in how to record the title. Remember that the ISBD(S) has nothing to do with rules for choice of entry; however, the ISDS does and its guidelines require a key title approach as the "main entry" of serial publications and thereby comes immediately into conflict with our national standard, the Anglo-American Cataloging Rules.

One of the major problems that must be resolved is working out a solution as to what represents a bibliographic entity. For example, a serial entitled Estimates of employees by province and industry is entered, following the AA Rules, under "Canada. Bureau of Statistics." ISDS would enter under the title Estimates of employees by province and industry and an ISSN would be assigned to the title. Now, when the corporate body undergoes a change a new AA entry is required under "Canada. Statistics Canada. Monthly Employment, Payrolls, and Labor Income Section." Since the title does not change, the ISDS will not make a new entry nor assign a new ISSN, but will amend the existing record to indicate a change in one of the data elements.

One way to overcome this difficulty would be to make the ISBD(S) distinctive title the "entry" element for all serials and make added entries for any necessary issuing bodies. This is the proposal that is being discussed today. To my knowledge there has been no formal proposal to the newly established Catalog Code Revisor Committee;

however, they are

aware of rumblings. Refer again to the examples provided. Under the proposal (informal) the entry for all of the examples would be under the distinctive titles as shown, with an added entry for the American Medical Association as needed.

For a thorough discussion of the title main entry concept, I commend to you the study of M. Nabil Hamdy's The Concept of Main Entry as Represented in the Anglo-American Cataloging Rules; a Critical Appraisal with Some Suggestions: Author Main Entry vs. Title Main Entry.

Lack of time prevents me from going into a theoretical discussion. I would like, however, to devote the remainder of the paper to the practical advantages and disadvantages in working situations.

For the purposes of the rest of this paper let's assume that AA rule 6 is changed to require entry for all serials under the ISBD(S) distinctive title with added entries, as necessary, under issuing body in cataloging form.

I plan to discuss the problems in relationship to a card catalog, machine readable files, and a manual checking record--for each one presents a different problem. However, before delving into the problem I would like to submit that a distinctive title as in our current usage (not the ISBD(S) meaning) not involving corporate authorship, presents no problem, e.g. High Fidelity. Therefore, I will discuss only the problem area of titles containing a generic term and a corporate body.

May I also insert at this point that I will not be discussing the problem the cataloger has in knowing where on the piece the title starts. We have this problem now and as far as I can see, will always have it unless more specific guidance can be given in the revision of Chapter 7 of the AA Rules which will be under consideration soon.

Card Catalogs

I feel that adopting the distinctive title approach for entry would have little major effect on the card catalog either created manually or through machine processes and would in some cases help the library user. At the present, there are many serials for which there is no title access

and under the new proposal there would be a main entry for every ISBD(S) distinctive title. This seems to me to be an advantage for the user but a slight disadvantage in adding to the size of the card catalog. Another aspect is that the issuing body, if applicable, will always be an added entry and under most filing rules, added entries would be filed after all main entries of the same body. This, however, doesn't bother me for the user of the catalog cannot know whether a corporate body will be used as the main or added entry even for other types of materials and must look under all main and added entries of a particular corporate body if he is to be sure of what the library has.

Machine Readable Files in the MARC-S Format

There will be absolutely no problem that I can see for all uses of the machine readable file, e.g., checking in on-line, printing union lists, reference inquiries, etc., if information is tagged and input correctly; also the search capacity must provide for both title and added entry search. MARC serials format has an indicator on added entry fields to show which added entry is the current issuing body so no information would be lost if everything were under ISBD(S) title entry. A union list, for example, can be printed out in any way desired, provided one does not try to mix entry elements, with an index covering other important access elements.

Manual Check-In Files

I think that this is by far the most difficult problem. The manual checking file, contrary to a card catalog's multiple access, normally has only one access, except for cross references which have to be generated by a separate intellectual decision. If one were lucky enough to be starting a new library and a new serial checking record, I think that

the problem could be solved rather simply in the following ways:

1. For a title represented by example no. 3, I would perform what some might consider a heretical act and drop the linking words and replace it by a space hyphen space--thereby making the serial record entry exactly like example no. 1. I think that this problem is severe enough, not only in the serial record, but also in a union list, and to a lesser degree in a card catalog, that consideration should be given to getting the ISBD(S) changed to require the dropping of the linking words. In a sense we have been dropping them as well as the issuing body until recently by truncating the title when the main entry is under the corporate body.

2. I would not make any references for the examples given but would train the staff in the relatively simple rules for the construction of the ISBD(S) distinctive title--certainly simpler than the existing rules for entry. I would further train staff to check the file under the distinctive title--either derived from the piece in hand or in the order given by the patron. Then if not found, to check always for the distinctive title in reverse order.

A file such as this has the great advantage of needing very few references. One will need references to solve problems such as initialisms, etc. By this arrangement the size of the checking file can be reduced considerably and I think that one would find a much higher percentage of records under the first search than is presently the case.

The above outlines the ideal and none of us here today, I'm sure, will be working with the ideal. We have existing files to consider. One thing that I feel very strongly about is that we cannot superimpose a new approach upon the existing file without major changes. Please realize that if I frequently refer to LC's serial record, I do so not because it is a file to emulate but because it is the file that I know best. I am sure

that some of the same problems are present in your files also. In LC's file, some of our records are under ALA rules and some under the AA rules and this creates bad problems for us. If we add a new system that involves a major difference, I am afraid that the accessioners will need both our love and pity. Several years ago LC tried the title approach in its files but did nothing about changing the existing file. Because no one could guess which entries would be under title and which would not be, it failed after about one year and was abandoned.

There are some practices that could be initiated to change existing files to the distinctive title approach, to varying degrees of success, providing one can invest time and money.

1. Pull those entries having distinctive titles (as we usually define them) that are entered under corporate body, line through the corporate body lightly, kill the cross reference, and file under the title.

To me this would be a good thing to do regardless of whether or not the distinctive title approach is adopted in cataloging.

Before I discuss the other ways to bring the existing file into conformity with the distinctive title approach, I should discuss some complications that will have to be overcome. The ISBD(S) distinctive title requires, for generic titles, that the title be as it appears on the piece which is different from the requirement in the recently defunct rule 162B. This problem can be handled satisfactorily if you have committed yourself to dropping all linking terms in generic titles and replace them with a space dash space. Therefore, I am assuming in the following suggestions that this practice has been adopted by you. If you haven't, then there is no way to resolve this problem without seeing the piece, which for dead titles would be far too expensive I think.

The ISBD(S) further requires that when an issuing body is added to a generic title, it too must be as it appears on the piece.

Another complication concerns superimposition, i.e., the practice of continuing to use an established ALA form of the heading instead of using the AA form. LC will be dropping the practice of superimposition, perhaps as early as 1975, and this will be a tremendous problem for all those serial record files following this practice. For serials, this involves mainly those headings entered under place or government body.

The other complication I should mention is the problem of entry under latest title (ALA rules) where one bibliographic record was made for a serial containing all changes in title and issuing bodies, versus successive entry (AA rules) where each change of title or, in some cases issuing body, requires a new bibliographic record.

While the last two problems are not connected with today's topic, they must be considered in solving the problem of changing the existing files.

Now back to suggestions for solutions.

2. I would next work on the live titles that are generic. As new pieces come in for recording, the record can be pulled, along with its cross references if applicable, to bring it into conformity with the distinctive title requirements. Some records will need retyping but many can be hand edited. I would also do the same thing for all other entries (including the dead ones) under the same issuing body. This would automatically take care of the big problem of superimposition. In an older record under latest title, following ALA rules, that has undergone changes, as recognized by the presence of a cross reference, I would make a new entry noted with "Checked in under latest title" instead of a new reference. This will facilitate the splitting of holdings in the future if time permits.

The last group of records needing to be changed are those corporate bodies that are defunct, no longer publishing, or publish so irregularly that no pieces have recently been received. Those corporate bodies that have already been desuperimposed can be satisfactorily handled by method number 2 above. Also, one can, with relative accuracy, handle, by method 2 above, those superimposed corporate bodies entered under place by transposing the place to the end of the corporate body which is to follow the generic title.

For those official publications entered under the government (city, state, country, etc.) which have not been desuperimposed, a judgement on the cataloging level will have to be made as to whether to drop the name of the government or not; however, these do now and will always create problems, for, according to existing rules, even professional catalogers have difficulties in knowing which agencies, etc., will be entered independently and which would be entered under the city, state, country, etc. Consequently, accessioners will need to be trained that, for government publications, they should check the name of the agency itself and, if not found, under the name of the governmental body. Because of the title approach, these checks will always be in the same letter of the alphabet.

I am sorry, that because of time restraints, I have had to ignore the theoretical aspects in favor of the practical aspects. As to the practical aspects I have also concentrated on the major problems for there are other smaller problems to work out. It is my opinion that using the ISBD(S) distinctive title approach for entry would, practically speaking, be a much easier approach for the control of serials; however, one must realize that in manual checking files and, to a lesser extent, a union list

such as NST, a sizeable investment will be involved in bringing the old files into conformity. For those of us who will soon be involved in dropping superimposition, this sizeable cost can be offset, at least to a large extent, by the fact that in changing existing files to the distinctive title approach, the superimposition problem disappears.

Thanks for listening and my apologies for so many details that may not be easily comprehended at first hearing. I will be glad to answer your questions at the appropriate time later in the program.

American Medical Association

BEST COPY AVAILABLE

JOURNAL

Journal - American Medical Association

Example 1a

JOURNAL

American Medical Association

Example 1b

American Medical Association
Journal

American Medical Association Journal

Example 2

Journal
of the
American Medical Association

Journal of the American Medical Association

Example 3